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# RECORDS MANAGEMENT PROGRAM QUESTIONNAIRE

TO: HUNTON & WILLIAMS
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FROM: Name: Bob Engley

Title: Group Leader Console Operations

Department: Headquarters Services

Division/functional area: Security/Reception

Immediate supervisor and title: James L. Wegman, Security Manager

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## DEFINITIONS

RECORDS - Any generated or received paper, book, photograph, microform (microfilm or microfiche), map, drawing, chart, card, magnetic tape or other computerized information, or any copy or printout thereof. Records include not only official files, central files, and stored files, but also all records relating to the Company's business regardless of their physical location, including records kept in your desk, credenza, home, car, etc.

RECORD CATEGORY - Any group of related records which are normally used and filed as a unit and permit evaluation as a unit for purposes of setting retention periods. A record category is not necessarily a file folder title. Good examples of record categories are: Purchase Orders; Budgets; Performance Appraisals; Status Reports; Managers' Meetings. Exhibit A is a list of some commonly used categories.

PLEASE COMPLETE THE FOLLOWING FULLY AND CAREFULLY:

1. Exhibit B is the records retention schedule which is meant to apply to your department's records. If you believe a different retention schedule applies to your area, please attach a copy of such schedule. If your department uses a method other than a formal retention schedule to determine how long records should be kept, please describe this method and provide copies of all relevant materials.

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2. Please list all categories of records currently maintained by your department in its office area or on-site. Provide the record category name, the approximate chronology (or year of the earliest dated document in the category), the retention period, and how the retention period is determined (for example, by a records retention schedule, through general office practice or routine, etc.). Make additional copies of this page if necessary.

## CURRENT DEPARTMENT RECORDS CATEGORIES

| Category | Chronology | Retention Period | How Determined |
|---|---|---|---|
| Manuals | | | |
| JC 85-40 Vol 1 and 2 | 1990 | Current | G.O.P. |
| Fire Safety Personnel Guide Book | | Per. | NYCFD Regulations |
| Tech. Operation of PM Electronic Security System | | Per. | G.O.P. |
| Fire Safety Plan | 1990 | Current | NYCFD Regulations |
| Employee Handbook | 1990 | Current | G.O.P. |
| Security Officer Manual | 1990 | Current | G.O.P. |
| Control Center Operations Manual | 1990 | Current | G.O.P. |
| Expert Telephone Techniques Course Book | 1990 | Current | G.O.P. |
| Fire Safety Directors Manual | 1990 | Current | NYCFD Regulations |
| Marlok Printer Manual | 1990 | Current | G.O.P. |
| Digi-Key IV (Users Manual, 100 Park 2nd floor | 1990 | Current | G.O.P. |
| Schlage System 732 Users Manual | 1990 | Current | G.O.P. |
| Rolm Phone Users Guide | 1990 | Current | G.O.P. |
| Schlage 5800 System Operations Manual | 1990 | Current | G.O.P. |
| Model 3708A Printer Manual | 1990 | Current | G.O.P. |
| Tel. Directors | | | |
| Emergency Home Telephone Numbers | 1990 | Current | G.O.P. |
| PM International Inc. | 1990 | Current | G.O.P. |
| Emergency Office Closing Procedures | 1990 | Current | G.O.P. |
| Fire Department Certificate of Fitness | 1990 | Current | NYCFD Regulations |
| FCC Radio | 1990 | Current | Fed. Govt Regulat. |
| Bureau of Fire Prevention | | Per. | NYCFD Regulations |
| Records | | | |
| Emergency Notification Book | 1990 | Current | G.O.P. |
| Employee Master List (weekend after hours) | 1990 | Current | G.O.P. |
| Fire Alarm Procedure Book Instructions | 1990 | Current | G.O.P. |
| 120 Park Avenue Key Log Books | 1990 | Current | G.O.P. |
| 100 Park Avenue Key Log Books | 1990 | Current | G.O.P. |
| 120 Park Avenue Floor Plans | 1990 | Current | G.O.P. |
| PM Executives (Pictures) | 1990 | Current | G.O.P. |
| Omega Alarm Incident Report Book | 1990 | Current | G.O.P. |



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2. Please list all categories of records currently maintained by your department in its office area or on-site. Provide the record category name, the approximate chronology (or year of the earliest dated document in the category), the retention period, and how the retention period is determined (for example, by a records retention schedule, through general office practice or routine, etc.). Make additional copies of this page if necessary.

## CURRENT DEPARTMENT RECORDS CATEGORIES

| Category | Chronology | Retention Period | How Determined |
|---|---|---|---|
| Incident Report Book | 1990 | Current | G.O.P. |
| Console Memo's Book | 1990 | Sup. | G.O.P. |
| Console Operation's Incident Log Book | 1990 | Current | G.O.P. |
| Elevator Logs | 1987 | C+1 | G.O.P. |
| Service Calls For Day Logs | 1989 | C+1 | G.O.P. |
| PMD Log Book | 1988 | C+1 | G.O.P. |
| Firemen Service Elevator Test Book | | Per. | NYCFD Regulations |
| Console Center's Log Book | 1988 | Per. | G.O.P. |
| Key Index Log Book | 1989 | Current | G.O.P. |
| Day Tour Radio Log Book | 1990 | Current by Week | G.O.P. |
| Night Tour Radio Log Book | 1990 | Current by Week | G.O.P. |
| Schlage Key Code and Revision Log Book | 1983 | Current/ Per. | G.O.P. |
| Radio & Beeper Service Log Book | 1988 | C+2 | G.O.P. |
| Hard Copies - System Records | | | |
| 100 Park Record | 1990 | 60 Days | G.O.P. |
| 120 Park Record | 1990 | As Needed | G.O.P. |
| Kearny Warehouse | 1990 | 60 Days | G.O.P. |
| Johnson Controls - HCI | 1990 | 14 Days | G.O.P. |
| Johnson Controls - HC2 | 1990 | Daily | G.O.P. |
| IBM Headquarters Event Calendar | 1990 | Daily | G.O.P. |
| Emergency Contact Printout | 1990 | Sup. | G.O.P. |
| Alpha Listing of Employees | 1990 | Sup. | G.O.P. |
| JC85/40 System Printouts | 1990 | Sup. | G.O.P. |



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3. Please list all categories of business-related records currently maintained by personnel in your department in their desks, credenzas, work areas, homes, etc. Such records include daytimers, working copies of ongoing project files, drafts of reports, or other materials that are not part of a shared file. Provide the category, chronology, retention period, and how this retention period is determined. Make additional copies of this page if necessary.

CONVENIENCE FILES

| Category | Chronology | Retention Period | How Determined |
|---|---|---|---|

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4. Exhibit C is a computer printout of all records or boxes your department has sent to QRSA, Iron Mountain, or Carlstadt. Please review this list for completeness and accuracy. From this printout, please determine what categories of records your department has stored at QRSA, Iron Mountain, or Carlstadt and list those categories below. If you know of other categories of records in storage not listed on Exhibit C, or if you store records in a different off-site facility, please provide the category, the location of the stored files, the approximate chronology, the retention period, and how this retention period is determined. Make additional copies of this page if necessary.

## STORED CATEGORIES OF RECORDS

| Category | Location | Chronology | Retention Period | How Determined |
|---|---|---|---|---|

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5. Please list all machine-readable or electronic categories of records maintained by your department, where the data are used or located (e.g., P.C., mainframe, floppy disks, etc.), the chronology, the retention period, and how the retention period is determined. Make additional copies of this page if necessary.

MACHINE-READABLE OR ELECTRONIC CATEGORIES OF RECORDS

| Category | Location/Type of Medium | Chronology | Retention Period | How Determined |
|---|---|---|---|---|
| VCR - 1,2 & 3 - And Freight Car | Tape | 1990 | 7 Days | G.O.P. |
| Schlage 5800 - 120 Park Avenue | Diskette | 1989 | C+1 | G.O.P. |
| Schlage 732 - 100 Park Avenue | Cassette | 1990 | Weekly | G.O.P. |
| Service Phone | Cassette | | Per. | G.O.P. |
| JC/85-40 Back-Up System | Tapes | | Per. | G.O.P. |

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6. State the number of employees in your department who maintain records to which the information provided in response to this questionnaire applies.

6 People

7. What laws, governmental regulations, etc., do you perceive as governing your departmental records or as requiring you to retain records?

NYC Fire Department regulations.

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EXHIBIT A

| Category | Retention |
|---|---|
| ADMINISTRATIVE | C+2 |
| AFFIRMATIVE ACTION | C+2 |
| APPLICATIONS/RESUMES | C+1 |
| APPROPRIATIONS | C+2 |
| ASSOCIATIONS & MEMBERSHIPS | C+1 |
| ATTENDANCE | C+1 |
| BENEFITS | C+2 |
| BIDS/QUOTATIONS | C+1 |
| BILLS | C+1 |
| BILLS OF LADING | C+1 |
| BROCHURES | C+1 |
| BUDGETS | C+1 |
| BUILDINGS & GROUNDS | C+2 |
| BULLETINS/POSTINGS/NOTICES | C+1 |
| CALENDARS/DIARIES/DAYTIMERS | C+1 |
| CAMPAIGNS/PROGRAMS/SPECIAL EVENTS/AWARDS | C+2 |
| CAPITAL FORECASTS/CAPITAL EXPENDITURES | C+3 |
| CHRONOLOGICAL FILES | C+2 |
| COMMITTEES | C+2 |
| COMPENSATION | C+2 |
| COMPETITORS | C+2 |
| COMPLAINTS | C+1 |
| CONFERENCES & SEMINARS | C+2 |
| CONSULTANTS | C+2 |

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| Category | Retention |
|---|---|
| CONTRACTORS | C+2 |
| CONTRACTS & AGREEMENTS | TER+6 |
| CORRESPONDENCE | C+2 |
| EQUIPMENT/MACHINERY | SUP |
| EXPENSES | C+2 |
| FINANCIAL REPORTS | C+1 |
| FIVE YEAR PLANS | C+3 |
| GOALS/OBJECTIVES/PLANNING | C+3 |
| GOVERNMENT LAWS/REGULATIONS/AGENCIES | SUP |
| INVOICES | C+1 |
| JOB ORDERS | C+1 |
| LEASES | TER |
| LEGAL/LITIGATION | C+2 |
| LIBRARY/REFERENCE MATERIAL | SUP |
| LOSS PREVENTION | C+2 |
| MAINTENANCE & HOUSEKEEPING | C+1 |
| MANAGEMENT DEVELOPMENT | C+2 |
| MANPOWER PLANNING | C+2 |
| MANUALS | SUP |
| MAPS | SUP |
| MEETINGS | C+1 |
| MINORITY EXPENDITURES | C+3 |
| MONETARY APPROVALS | SUP |
| ORGANIZATION PLANNING | C+2 |
| ORGANIZATIONAL ANNOUNCEMENTS | C+1 |

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| Category | Retention |
|---|---|
| ORGANIZATIONAL CHARTS | SUP |
| PAYROLL | C+1 |
| PERFORMANCE APPRAISALS | C+1 |
| PERSONNEL RECORDS/FILES/FOLDERS | TER |
| POLICIES & PROCEDURES | SUP |
| PRESENTATIONS & SPEECHES | C+2 |
| PROCUREMENT/PURCHASING | C+1 |
| PUBLICATIONS/NEWSLETTERS | C+2 |
| PURCHASE ORDERS/REQUISITIONS | C+1 |
| QUALITY ASSURANCE REPORTS | C+1 |
| RECEIVING TICKETS | C+1 |
| SERVICE RECORDS | C+2 |
| STANDARDS/SPECIFICATIONS | SUP |
| STANDING ORDERS | SUP |
| SUNDRY ORDERS | C+1 |
| SURVEYS & STUDIES | C+2 |
| TELEPHONE BILLS/REPORTS | C+1 |
| TIME SHEETS | C+1 |
| TRAINING & DEVELOPMENT | C+2 |
| TRIP REPORTS | C+1 |
| VACATION/HOLIDAY SCHEDULES | C+1 |
| VENDORS | C+2 |
| VISITS/TOURS/TRIPS | C+2 |
| VOUCHERS | C+1 |

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